



RECORDS RETENTION AND DISPOSITION SCHEDULE

Technology, Indiana Office of

Agency: Technology, Indiana Office of		Division:	
ITEM NO.	RECORD SERIES	TITLE/DESCRIPTION (This Retention Schedule is approved on a space-available basis)	RETENTION PERIOD
Operations			
1	2007-107	REQUEST FOR CHANGE (RFC) Various forms and documentation completed to make changes to system environment to request change and used to document review, testing, implementation and completion of change. Disclosure of these records may be subject to IC 5-14-3-4 (b)(10) & (11).	DESTROY after three (3) years.
2	2007-108	REQUEST FOR CHANGE (RFC) SUPPORTING DOCUMENTATION Test plans, test results, back-out procedures and other miscellaneous documentation used in the change process.	DESTROY after one (1) year.
3	2007-109	BACKUP SCHEDULES AND REPORTS Schedules and reports for back-ups of data and systems.	DESTROY after one (1) quarter.
4	2007-110	USER ACCESS REQUEST A form or user agreement completed to receive user id or access to application, system or service provided by IOT. Completed by individual requesting access, signed by their supervisor and completed by IOT staff once access is granted. Disclosure of these records may be subject to IC 5-14-3-4 (b)(10).	DESTROY three (3) years after termination or deletion of the user's access.
5	2007-111	USER ACCESS CONTROL LIST Listing of users and their access to various systems and services.	DESTROY one (1) quarter after a new list has been produced.
6	2007-112	SYSTEM EVENT LOGS Operating System Event Log: this includes exception reports, access logs, vulnerability reports, performance and various other event logs. Includes mainframe, platform, database, GMIS and any other similar system or monitoring services performed.	DESTROY after one (1) quarter.
7	2007-113	PERFORMANCE LOG Performance logs of systems and equipment prepared monthly.	DESTROY after one (1) quarter.
8	2007-114	DATABASE DOCUMENTATION Documentation of database requirements, fields and other information.	DESTROY three (3) years after documentation has been updated or replaced.
9	2007-115	SYSTEM DOCUMENTATION Includes backup/recovery, batch schedules, user security, user guides and training materials.	DESTROY three (3) years after documentation has been updated or replaced.
10	2007-116	DATA SERVICE ORDERS (DSO) This is received from agencies requesting various data services.	DESTROY three (3) years after all service work ordered is completed and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
11	89-137	TELEPHONE SERVICE ORDERS (TSO) This is received from agencies requesting various telephone services. Signature approval blanks plus State Budget Agency approval are indicated.	DESTROY three (3) years after all service work ordered is completed and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges.
12	2016-01	SYSTEM FILE BACKUPS Backup files for master files or databases, application software, logs, system state, directories, and other records needed to restore in the case of a disaster or an unintentional loss of data.	DELETE/DESTROY after 11 backup cycles.
IN.GOV			

13	99-45	WWW.IN.GOV WEBSITE PAGES Series consists of all web pages published to the IN.gov website, by and for State Agencies, for the purpose of disseminating government information.	At the end of each fiscal year, TRANSFER all website pages on a formatted medium to the INDIANA ARCHIVES.
14	2016-04	WWW.IN.GOV CALENDAR DATA Calendar and press release data posted and released by State Agencies via the IN.gov website and other electronic media outlets.	TRANSFER to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, one (1) year after the end of the calendar year covered by the data. DELETE agency copy of data after transfer and when no longer required for internal Office of Technology research purposes.
15	2016-05	WWW.IN.GOV STATISTICAL DATA Website usage statistics for all IN.GOV web pages, obtained and arranged through a variety of statistical applications and services.	TRANSFER statistical data to the INDIANA ARCHIVES for EVALUATION, SAMPLING and WEEDING pursuant to archival principles, three (3) years after the end of the calendar year covered by the data. Prior to INDIANA ARCHIVES transfer, assure that all statistical data is accessible to state agencies upon request, by MIGRATING existing data to any new application or statistics package, or preserving it in an open-source format.
Customer Service Center - Help Desk Incident Management			
16	2007-117	PROBLEM MANAGEMENT TICKETS Tickets created when customer calls or e-mails are routed through IOT-s help desk to provide services or fix problems.	DESTROY after three (3) years.
17	2007-118	PROBLEM MANAGEMENT REPORTS Reports created on problem management tickets for various reporting purposes.	DESTROY after one (1) quarter.
Security			
18	2007-119	SECURITY REPORTS Reports produced to monitor and investigate security issues. Disclosure may be subject to IC 5-14-3-4 (b)(10) & (11). As monitoring initiated to assess potential security risks, these records may be retained during an investigation without disclosure to an affected employee pursuant to IC 5-14-3-4(a)(3), (b)(1) or (b)(19).	RETAIN for the duration of investigation. Upon satisfaction of any disciplinary action arising from report, TRANSFER employee-specific records to PERSONNEL FILE (GRPER-5) at the employing agency. At that time, the records are subject to disclosure to affected employees. DESTROY one (1) year after report date if agency has determined that monitoring reveals nothing that will be used in a disciplinary action.
19	2007-120	SECURITY ASSESSMENTS Assessments of security of the state information and systems, generally provided by outside party. Disclosure of these records may be subject to IC 5-14-3-4 (b)(10).	TRANSFER to the RECORDS CENTER two (2) years after the end of the fiscal year, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY in the RECORDS CENTER after an additional eight (8) years.
20	2007-121	INFORMATION RESOURCES USER AGREEMENT (IRUA) Agreement for use and access to state IT resources including hardware and software. Disclosure of these records may be subject to IC 5-14-3-4 (b)(10).	DESTROY three (3) years after termination or deletion of the user's access.
21	2007-122	INCIDENT RESPONSE Notification of incident involving state information technology equipment or electronic data. Disclosure of these records may be subject to IC 5-14-3-4 (b)(10).	DESTROY five (5) years after date of incident.
Disaster Recovery/Continuity			
Approved by the Indiana Oversight Committee on Public Records			

22	2007-123	DISASTER RECOVERY AND CONTINUITY PLANS DISCONTINUED: Use GRADM-9 on the General Retention Schedule for All State Agencies----- Disaster Recovery/Continuity Plans for IOT, including those for electronic systems, as well as supporting documentation used in the development of the plans. Disclosure of these records may be subject to IC 5-14-3-4 (b)(10).	TRANSFER one copy of each Plan to the INDIANA ARCHIVES, for permanent archival retention, upon its approval by the agency. DESTROY remaining agency copies when outdated or replaced. DESTROY supporting documentation three (3) years after current Plan is outdated or replaced.
23	2007-124	OFF-SITE BACKUP MEDIA AND DOCUMENTATION Materials stored offsite for disaster recovery and continuity for agency including materials used for periodic testing of plans. Back-up media used for restoration procedures, required paper documents to perform job functions and other miscellaneous materials needed for recovery that apply to system functionality and job functions. Disclosure of these records may be subject to IC 5-14-3-4 (b)(10).	Destroy when outdated or replaced.
24	2007-125	DISASTER RECOVERY AND CONTINUITY TRAINING PLAN Testing plans and assignments. Disclosure of these records may be subject to IC 5-14-3-4 (b)(10).	Destroy ten (10) years after plans are outdated or replaced.
25	2007-126	DISASTER RECOVERY AND CONTINUITY TRAINING TEST RESULTS Documentation of the results of testing of the plans. Including recommendation and issues noted. Disclosure of these records may be subject to IC 5-14-3-4 (b)(10).	Destroy when outdated or replaced.
Project Management			
26	2007-127	PROJECT DOCUMENTATION Documentation of agreement between IOT and another agency to provide services and/or equipment as well as bill for those services. Records may include project charters, statements of work (SOW), memoranda of understanding (MOU), project work plans, status reports and changes requested under the IOT project management process.	TRANSFER to the RECORDS CENTER three (3) years after conclusion of the project detailed in the related Statement of Work, and after receipt of STATE BOARD OF ACCOUNTS Audit Report and satisfaction of unsettled charges. DESTROY after an additional seven (7) years in the RECORDS CENTER.
GMIS			
27	2007-128	CHANGE REQUESTS LOG Log and related documentation of requested changes and issues with the system.	DESTROY one (1) year after decommission of the related software application.